

## APPENDIX 5C

### Architectural Assessment

#### *1. Interior Assessment*

The Armory is made up of two wings, the Headhouse and the Drill Hall. The Headhouse faces Park Avenue and is a 5 story structure plus a cellar level. The footprint is approximately 200 feet by 100 feet, occupying the western edge of the site. A single passenger elevator serves all floors. A gymnasium was added on the fifth floor and is set back from the block below. The Drill Hall occupies the other three-quarters of the site toward the east.

#### HEADHOUSE:

##### *Cellar Floor*

The cellar floor space includes the boiler room and mechanical utilities as well as storage rooms, toilet and locker rooms for the Women's Shelter, a kitchen, and rooms reserved for the private use of the Knickerbocker Greys and other armory constituents. Extensive piping for mechanical systems is installed below the ceilings in the main corridor.

Windows on the west side are above grade at Park Avenue. An inoperative rifle range exists along the 66th Street perimeter, below the Drill Hall, and a pipe chase is at the northern perimeter. The area below the drill hall is otherwise unexcavated.

The primary public access is from the two wings of the main center stairwell; there is also an entrance from stairs leading down from 67th Street, used as the entrance to the Lenox Hill Women's Shelter. Another exit exists on the south side, although it is not currently used.

Each of the floors is discussed below:

##### *First Floor*

The first floor comprises the formal public spaces with decorative interiors.

Exiting is through the main entrance onto Park Avenue or through the Drill Hall.

A number of rooms on this floor have sustained water damage. These include the Commander's Reception Room (southeast corner), and the Divver Room on the west side. The Board of Officers/Clark Room has sustained extensive water damage on both the south and west walls. Heavy efflorescence, flaking paint, and spalling plaster are visible on the walls, as well as water staining and cracking on the ceiling. Scaffolding has been erected covering the entire ceiling in this room.



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THE SEVENTH REGIMENT ARMORY ON PARK AVENUE

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*Second Floor*

The second floor is occupied by the Company Rooms. The entire floor has City Landmarks designation with the exception of the mailroom, toilet rooms, and one converted office space. The main corridor opens directly onto the central stairwell which connects down to the first floor and upward to the third floor. The northeast company room has access to the Drill Hall mezzanine below. Rooms on the east side have windows looking into the Drill Hall. The landing between the second and third floors provides access to a balcony overlooking the Drill Hall.

The ceiling on the north side of the main corridor is scaffolded after cracking and sagging was noted, particularly in the area of the large chandelier.

The Company A Room 211 has sustained water damage in the southeast corner.

Miscellaneous rooms on the west side show water damage, although not extensively.

Exiting from this floor is via the main central stairwell. The north and south stairwells start at this floor, and while leading upward also provide access (through a window) to exterior fire escapes on either end.

*Second Floor Mezzanine*

The rooms on the second floor mezzanine level are accessed from stairwells integrated into the decorative finishes of the company rooms. The spaces, with low ceilings (relative to the rest of the floor), are used as offices or storage.

*Third Floor*

The third floor is primarily occupied by the Women's Shelter, although some rooms are used by military constituents. The main corridor functions as a lounge for the shelter. Rooms are used as sleeping areas, administrative offices, and a clinic. Rooms on the east side look into the Drill Hall.

The main central staircase terminates at this level. The ceiling finish is peeling badly in this hallway. A partition has been erected separating the stairwell from the main north-south corridor and adjacent spaces, with an exit door provided for access to the stairwell. Additional exiting is provided at the north and south ends of the Headhouse, and partitions have been erected at both ends to separate the stairs from the main corridor, although the end rooms are accessed from the stairwell side of the partition.

Some water damage was observed on the west side walls.



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*Fourth Floor*

The east side of the fourth floor is occupied by the restaurant's main dining room and kitchen, a smaller private dining room at the north end and a storage room at the south end. The north and south end of the west side include a private dining room and a storage room, while the middle spaces comprise two-level locker rooms. These are essentially unused, except in a minimal fashion as storage and coat check space for the restaurant.

Primary exiting from this floor is at the north and south ends of the main corridor. Additional egress from this floor is available through doors on the east wall, which access rooftop fire escape stairs above the Drill Hall roof, leading to both 66th and 67th Streets. Partitions have been placed at the north and south ends in order to segregate the main corridor, which serves as a prefunction lounge to the restaurant, from the exit stairwells. The end rooms, however, are on the stair side of the partitions.

*Fifth Floor*

The fifth floor was originally built as a gymnasium and is primarily a large clear-span space, with a balcony inserted on the north end. It is now entirely used by the Women's Shelter for sleeping, toilets, and offices. As this floor is a later addition to the building, the stairwells were planned as separated from the occupied space. Exiting is also provided on the east side, where doors from the gym access fire escape stairs which lead to 66th and 67th Streets. Additional fire escapes are also provided at the intermediate stair landings on both the north and south sides.

As this floor is set back from the massing of the Headhouse below on the Park Avenue side, access to the western roof area and tower roof is provided by doors at each end.

**DRILL HALL***First Floor*

The large vaulted space of the Drill Hall is over three stories in height against the adjacent Headhouse structure. The Drill Hall is accessed by vehicles and pedestrians from Lexington Avenue and also formally from the main entrance hall on the Park Avenue side. The east (Lexington Avenue) exits are at the north and south corners and in the center. The west exit is through the Headhouse or via the balcony fire escapes.

The enclosures below the balconies, added as storage rooms, support spaces and public toilets, are not part of the Landmarks designation.



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*First Floor Mezzanine*

These spaces are accessed from the main stairwell landing and are used for offices/locker rooms for the military.

The mezzanine level also includes the Drill Hall balcony level, which is also accessible from the main stair landing. The Drill Hall balconies on the north and south sides have been platformed over the stepped structure to provide storage and locker space for military use.

Exits from the balcony are through the stairwells at each corner, as well as via a single door on each street side, located in the middle of the wall, leading to fire escapes down to 66th or 67th Street.

*2. Architectural Assessment of Exterior*

Please note that this assessment is not meant as a definitive survey of damage sustained in all areas.

The exterior wall is brick masonry, with stone at window heads, sills, and decorative courses. It is a masonry bearing wall structure and typically appears to be approximately 24" thick. Many mortar joints appear to be eroded or poorly repointed, and brick has been damaged in prior repair work.

Roofs on the building are relatively new and appear to be in fair to good condition, although trees are growing at the parapets on the 67th Street side. The fourth floor roof on the Park Avenue side is a sloped mansard, with a standing seam metal roof, rising behind the crenellated parapet.

Exterior fire escapes are equipped with a counterweight which allows the ladder to descend to street level in the event of an emergency. Although archaic, these appear to be in operable condition, and are included in the records of the NYC Department of Buildings and the exterior landmark designation.

Water penetration in many areas of the building has resulted in extensive interior damage. There are a number of different conditions which have been identified, in a series of reports collected by the State Office of General Services, as contributing to the failure of the exterior envelope. These repeatedly include inadequate or non-functioning gutters, downspouts and roof drainage systems. This causes water to empty over the parapets and embrasures through scuppers, and run down across the face of the building. Eroded mortar joints at window heads are a likely source of penetration. The buildup and flow of water against deteriorated parapet masonry and flashings has similarly allowed water penetration to interior cavities and the finished spaces beyond. Other factors include leaking of internal leaders, which, according to the records, was addressed in an emergency project in 1998.

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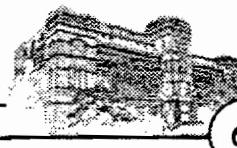
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There are a number of remedial projects underway or anticipated in the near future in order to address the facade deterioration.

The State Office of General Services has scaffolding in place on all the towers of the armory, including the side streets. They have undertaken an emergency project of brick reconstruction at the towers, particularly concentrating on the corbelling, on the Lexington Avenue side of the building. The recovery rate for re-use of brick has not been good and the brick is being replaced with new units, which, by virtue of being new, do not match the weathered old ones. The State expects that emergency facade work on the Park Avenue side will begin in the near future.

A severe crack and bulging masonry exists at the southeast corner of the Headhouse. The area of greatest damage is at the third floor level. Steel plates anchored into the masonry have been installed in an effort to strap the wall together. Damage from water is visible on the interior at all floors in this area. Scaffolding has been erected on the exterior but there are no plans for further work by the State at this time.



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**APPENDIX 5D**

**Architectural Plans**

**(See Attachment)**



## APPENDIX 5E

### Historic Preservation Assessment

#### *Summary of Existing Conditions*

The following section is a descriptive overview of the Armory's facades and interior spaces. It is neither an exhaustive catalog of significant features, nor a detailed survey of conditions which may require repair, restoration, or upgrading. Rather, it is an attempt to convey the building's general character in a brief and accessible format.

The following description makes only passing reference to the building's assemblage of furnishings and artifacts. Questions regarding the ownership of many of these materials remain unresolved.

Interior water damage has been identified in several rooms on the first, second and third floors, including the Clark Memorial Room. Unstable plaster has also been noted in a number of locations (Clark Room, Mary Diver Room, Colonel's Reception, Field & Staff Room, the second floor hall, and rooms 205 and 207). A full survey has yet to be completed, and these conditions may exist elsewhere as well. For further detailed information, please reference this the 1997 report on ceiling conditions to NYS DMNA. This report is included in an additional information package available upon request.

This section is divided into the following sub-sections:

- General chronology of original construction and major alterations
- Exterior description
- Interior description:
  - Headhouse, by floor (basement through fifth floor)
  - Drill Hall



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*General chronology of original construction and major alterations:*

- 1877-80 Original building construction.
- 1879-81 Build-out and furnishing of interiors.
- 1896-97 Entire building electrified; some of the elaborate original gas lighting fixtures were retained and wired for bulbs; others were replaced.
- 1902 New exposed-pipe heating system installed throughout building, replacing original system.
- 1909-11 Major renovation and expansion of Headhouse. This work included:
  - Third story raised to full height
  - Fourth story added
  - Upper section of central tower removed, and new crenellation added
  - Mezzanine levels inserted on eastern side of first and second floors, with additional partitioning in the newly-created spaces
  - New stairways inserted at both ends of main corridor, connecting floors 2 through 4
  - Extensive work on heating system
- 1912-13 Major alterations to Drill Room, including construction of a new, enlarged spectators' gallery, along with changes to window openings, and a new paint scheme.
- 1928-29 Fifth-floor gymnasium added, and north and south stairways extended for access; fourth-floor spaces converted into new dining and social spaces (including the Daniel Appleton Memorial Mess Hall, decorated in 1930-31).
- 1930-40s Renovation of third floor, numerous other alterations and "restoration" projects.
- 1950s -90s On-going series of ad-hoc minor alterations. These changes are poorly documented, and have generally not been historically significant. Therefore, they have not been specifically addressed in this document
- 1997-98 Temporary measures (still in place) in response to discovery of unstable ceiling plaster on first and second floors.

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***Exterior Description***

The Armory building occupies the entire city block bounded by Park Avenue, Lexington Avenue, 66th and 67th Streets. It consists of two separate elements unified by closely-related facades of brick masonry: The five-story Headhouse fronts on Park Avenue, while the attached Drill Hall faces Lexington, occupying three quarters of the site. The two avenue facades are framed by pairs of corner towers, and a third pair of towers marks the eastern wall of the Headhouse where it abuts the Drill Hall. Another single tower marks the building's principle entrance at the center of the Park Avenue facade. (The upper section of this tower was removed in 1909-11.)

## • Brick Masonry

- The original masonry exterior walls are of pressed red brick, with narrow joints and tinted mortar. Vertical surfaces are laid up in running bond, and are embellished with brick corbelling and crenellated battlements.
- Similar materials were used for subsequent alterations to upper floors of the Headhouse and to the original Drill Hall window openings.
- The exterior walls of the fifth-floor gymnasium, added to the Headhouse in 1929, are faced with common brick. The gym's north and south endwalls are treated as stepped gables.

## • Stone Masonry

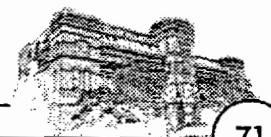
- The exterior brickwork of the entire structure is trimmed in grey granite.
- The granite elements include: battered and rusticated base; retaining walls; string courses; sills, enframements, lintels, voussoirs, and brackets at window and door openings; double stoop at the main entry; arched corbelling; loophole blocks; and parapets and copings

## • Windows

- On the Headhouse, windows are double-hung wood sash, some with transoms. Wrought-iron grilles screen window openings on the lower floors.
- The Drill Hall is illuminated by two rows of clerestories in the roof, and a large, segmentally-arched window above the Lexington Avenue vehicular entrance.

## • Doors

- The Park Avenue entrance pavilion incorporates massive paired entry doors fronted by elaborate wrought iron gates.
- The Lexington Avenue vehicular entrance is equipped with a roll-down steel gate (installed in 1955).



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- Roofs/Parapets

- Pitched roofs enclose both the Drill Hall and the Headhouse's fifth-floor gymnasium
- Areas of flat roof cap all seven towers, as well as the remainder of the Headhouse around the gym
- A mansard encloses the western (Park Avenue) side of the fourth floor
- Most visible roofing material appears to be recent, with sheet metal, membrane roofing, and built-up roofing used in various areas
- Drill Hall clerestories and related vertical surfaces clad in sheet copper
- Copper flashing, gutters and leaders

- Metalwork

- Iron railings at main entrance, around areaways, and along perimeter plantings
- Wrought-iron and steel fire escapes on the north and south facades
- Wrought-iron gate and lighting fixtures at main entry



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*Interior Description***HEADHOUSE**

From the basement to the fourth floor, the interior spaces of the Headhouse are arranged along a double-loaded north-south corridor. The main stairwell is located at the center of the building along the east side, and reaches from the basement to the third floor. Auxiliary stairways, completed in 1911, are located at the north and south ends of the main corridor, and connect floors two through five. An elevator off the north corridor serves all six floors.

The first floor houses the building's principal presentational spaces, used by the regiment for ceremonial and public functions; it also communicates directly with the Drill Hall to the east. The second floor is primarily devoted to the club rooms originally used by the regiment's individual companies. The upper floors house additional office and administrative space, as well as dining and social facilities on the fourth floor and the fifth-floor gymnasium. The basement contains service and utility spaces.

*Cellar*

The basement level of the Armory Headhouse contains equipment for the building's mechanical systems, as well as locker rooms, kitchen space, and storage areas, and other service functions. Shooting ranges and service spaces occupy areas beneath the north and south edges of the drill hall.

The following descriptions outline the general nature of interior treatments and fixtures.

- Floors
  - Generally concrete
- Walls
  - Generally utilitarian brick
- Ceilings
  - Generally pressed metal
  - Exposed utility lines and conduits
- Doors
  - Single- and double-leaf doors, some in paneled wood and some in metal, with matching enframements
  - Many with bronze decorative hardware; some with glazed panels.
  - Many doorways pierce brick masonry bearing walls with segmentally arched openings
  - Additional metal-clad doors of later date



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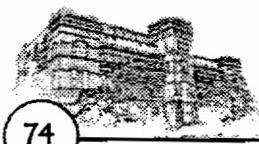
- Windows
  - Wood-framed double-hung sash, some with iron exterior shutters
- Other woodwork
  - Paneling and wainscoting (largely beaded-board)
  - Built-in storage fixtures, including cabinets (some with glazed doors), lockers, display cabinets
- Lighting fixtures
  - Recent brass ceiling fixtures
- Plumbing and heating fixtures
  - Bathroom fixtures are typically non-original and non-historic
  - Cast-iron steam radiators
- Other fixtures, furnishings, and artifacts
  - Stairs and railings, in metal and in wood
  - Telephone booths
  - Balance scale; assorted military equipment and memorabilia; other miscellaneous objects

*First Floor*

The first floor of the Armory Headhouse contains the facility's principal public spaces, including some of its most singular and elaborate rooms. The grandly-scaled circulation areas include the Entrance Hall, Main Corridor, and Stair Hall. (The Stair Hall contains the monumental staircase itself, and also serves as the vestibule to the Drill Hall located immediately to the east of the Headhouse). On the west side of the main corridor, the four largest "regimental rooms" face Park Avenue: the Veterans' Room, the Library (converted into the Regimental Museum in 1911), the Reception Room, and the Board of Officers' Room (renamed the Colonel Emmons Clark Memorial Room after its 1932 restoration). The east side of the corridor includes three rooms that were part of the building's original interior layout (the Field & Staff Room, the Equipment Room, and the Colonel's Room) as well as two suites which were carved out of the original North and South Squad Drill Rooms in 1909-11: the Inner & Outer Committee Rooms (north), and the Adjutant's Room and suite (south). [Note: room numbers to be included for cross-reference to floor plans when available.]

The following descriptions outline the general nature of interior treatments and fixtures.

- Floors
  - Hardwood flooring throughout, usually oak, frequently with mahogany and other contrasting species



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- Fields are plain or patterned (herringbone, parquetry, etc.); many rooms also include patterned borders
  - Some areas are carpeted
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- Walls
    - Flat plaster above paneled wood wainscot (see "Woodwork" below)
    - Plaster finished with a wide range of decorative treatments (of those that remain visible, not all are original); techniques include stenciling, applied metal leaf, painted fabric wall coverings, and trompe l'oeil designs
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- Ceilings
    - Most ceilings are flat plaster (some with coves, others with molded cornices and friezes). Others are beamed, coffered, or in the case of the Library/Regimental Museum, vaulted ceramic tile. All are treated with a range of plain and decorative finishes; a number no longer preserve their original designs.
    - Pressed metal ceilings in the main entry and the first-floor corridor date to 1913.
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- Woodwork

The entire first floor is characterized by generous amounts of rich woodwork, including mouldings, wainscoting, the treatments of door and window openings, and a host of other fixed and moveable elements. Species used included oak, maple, walnut, ash, mahogany, and rosewood.
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- Doors
    - Massive, paneled wooden doors in a range of configurations (single leaf, double leaf, and rolling pocket doors) set in paneled surrounds with matching enframements and overdoors
    - Many surmounted with transoms (and in one case, oculi), including some with stained glass
    - Bronze decorative hardware
- 
- Windows
    - Double-hung wood sash, set in paneled surrounds with matching enframements
    - Some with stained-glass window screens, in figurative and abstract designs
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- Other Woodwork
    - Extensive paneled wainscoting in almost every room, often with hand-carved decorative elements

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- Monumental fireplaces with mantels and overmantels (also frequently incorporating stone, tile, glass, and metalwork elements)
- Diverse types of built-in storage and display fixtures, including cabinets, wardrobes, lockers, bookcases, and show cases
- Decorative hardware and integral lighting fixtures of bronze, wrought iron, and glass
- The woodwork of many rooms also incorporates numerous diverse decorative accents, including carvings, metal-work screens and panels, wooden screens, ceramic tile, as well as many types of glass (stained, leaded, etched, beveled, mirror)
  
- Lighting fixtures
  - The current lighting system incorporates an array of ornate fixtures dating both from the original gas lighting installation and from the subsequent all-electric system installed in 1911-12, as well as more recent equipment.
  - These represent a full range of fixture types, including chandeliers, wall fixtures, torchères, and smaller fixed and free-standing lamps; they are executed in a variety of materials including wrought iron, brass, bronze, and, in at least one case, polished steel.
  
- Plumbing and heating fixtures
  - Bathroom fixtures are typically non-original and non-historic
  - Cast-iron steam radiators, some in radiator enclosures of wood and/or metal, some with marble tops
  
- Other fixtures and furnishings
  - Stairs, balconies, mezzanines, balustrades and railings, in metal and in wood
  - Metalwork gates and screens
  
- Furniture
  - Display cabinets and other storage equipment
  - Built-in seating (window seats, benches, fireplace inglenooks)
  - Tables, desks, stands
  - Moveable seating
  
- Art/Artifacts
  - Commemorative plaques, tablets, and displays
  - Weapons, uniforms, flags, and other military equipment and memorabilia
  - Military and hunting trophies

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- Works of art (paintings, sculpture, prints, photographs)
- Clocks, safes, bells, fireplace hardware and tools, and other miscellaneous objects
  
- Major first-floor alterations, room-by-room:
  - Library converted to "Regimental Museum" in 1911-14
  - Equipment Room (originally Quartermaster's Room), re-fitted in 1895; altered again in 1909-11
  - New spaces carved out of North and South Squad Drill Rooms in 1909-11:
  - South: Adjutant's Room, with other smaller offices en suite
  - North: Inner & Outer Committee Rooms
  - Board of Officers Room "restored" in 1932, and re-dedicated as Colonel Emmons Clark Memorial Room

*Second Floor*

The Headhouse's second floor is primarily devoted to the "Company Rooms," which functioned as club/locker rooms for the Seventh Regiment's constituent company units. Originally ten in number, these units undertook the design and "decoration" of their particular rooms independently, utilizing many of the most highly-regarded designers and craftsmen of the day. Today, there are twelve company rooms instead of the original ten, after the formation of two additional companies in 1909 and the conversion of two rooms for their use in 1909-11. (Company L, originally the Non-commissioned Staff Room; Company M, originally the Adjutant's Room.)

All twelve Company Rooms are elaborately finished, with ornate floor, ceiling and wall treatments. Their extensive woodwork includes lockers for individual company officers, as well as wainscoting, fireplace mantels, and the like. Many of these rooms have been substantially redecorated over time, some more than once.

The following description outlines the general nature of interior treatments and fixtures on the second floor as a whole:

- Floors
  - Hardwood flooring throughout, usually oak
  - Generally parquet; at least one floor is wide-plank oak
  - Some areas are carpeted
  
- Walls
  - Flat plaster above elaborate woodwork (see "Woodwork" below)
  - Plaster surfaces are finished with a wide range of decorative treatments (of those that remain



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visible, not all are original); finishes include stenciling, applied metal leaf, plaster friezes & reliefs, trompe l'oeil designs, and paper, fabric, and leather wall coverings

- Ceilings

- The ornate Company Room ceilings are enriched with beams, brackets, coffering, panels, strapwork, applied plaster ornament, as well as elaborate moldings and cornices. Other ceilings are flat plaster, some with molded cornices.
- Primary materials are wood, plaster, or both; some also with painted fabric panels. These are treated with a range of plain and decorative finishes; a number no longer preserve their original designs.

- Woodwork

- These second-floor spaces are characterized by generous amounts of rich woodwork, including mouldings, wainscoting, and the treatments of door and window openings, as well as a host of other fixed and moveable elements. Species used included oak, mahogany, ebony, and rosewood.

- Doors

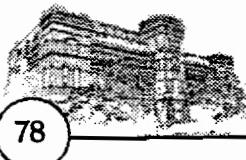
- Massive, paneled wooden doors (single- and double-leaf) set in paneled surrounds with matching enframements and overdoors; French doors open onto Drill Room galleries.
- Many surmounted with transoms, including some with leaded and/or stained glass
- Bronze decorative hardware

- Windows

- Double-hung wood sash, set in paneled surrounds with matching enframements
- Some with stained-glass window screens

- Other woodwork

- Extensive paneled wainscoting in almost every room, often with hand-carved decorative elements
- Monumental fireplaces with mantels and overmantels (incorporating stone, tile, glass, and metalwork elements)
- Various types of built-in cabinetry, including storage lockers, display fixtures, and bookcases
- Decorative hardware and integral lighting fixtures of bronze, wrought iron, and glass
- The woodwork of many rooms also incorporates numerous decorative accents, including carvings, metal-work screens and panels, wooden screens, and ceramic tile, as well as many types of glass (stained, leaded, etched, beveled, mirror)



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- Lighting fixtures

- The current lighting system incorporates an array of ornate fixtures dating both from the original gas lighting and from the building-wide conversion to an electric system in 1911-12. The second-floor Company Rooms in particular preserve a number of the building's original gas fixtures, wired for electrical use.
- Fixture types include chandeliers, wall fixtures, and smaller fixed and free-standing lamps; they are executed in a variety of materials, including wrought iron, brass, bronze, and polished steel, with metal leaf, stained glass, and other embellishments

- Plumbing and heating fixtures

- Bathroom fixtures are typically non-original and non-historic
- Cast-iron steam radiators, some in radiator enclosures of wood and/or metal

- Other fixtures and furnishings

- Stairs, balconies, mezzanines, balustrades and railings, in metal and in wood
- Metalwork screens
- Bar counters

- Furniture

- Display cabinets, lockers and other storage equipment
- Built-in seating
- Tables, desks, stands
- Moveable seating

- Art/Artifacts

- Commemorative plaques, tablets, and displays
- Weapons, uniforms, flags, and other military equipment and memorabilia
- Military and hunting trophies
- Works of art (paintings, sculpture, prints, photographs)
- Clocks, piano(s), and other miscellaneous objects

- Major second-floor alterations:

- Most of the Company rooms have undergone renovation and redecoration, some more than once. As a result, surviving material may represent more than one period, and older finishes may be preserved beneath more recent ones.
- Two new Company Rooms were created from existing spaces in 1909-11, to accommodate the formation of two new companies within the Regiment:
  - Company L Room, originally Non-commissioned staff room
  - Company M Room, originally Adjutant's Room



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- Iron stairways connecting second through fourth floors (ca. 1909-11)

*Third Floor*

The third floor contains spaces used for offices, classrooms, the armory dispensary, and a non-commissioned officers' club. The following descriptions outline the general nature of interior treatments and fixtures on the third floor as a whole:

- Floors
  - Hardwood flooring throughout, usually oak
  - Fields are plain or herringbone
  - Some areas are carpeted
- Walls
  - Flat plaster, generally above paneled wood wainscot (see "Woodwork" below)
  - Painted plaster. At least two rooms show elements of decorative treatments, include stenciling, applied metal leaf, and paper wall coverings
  - Some more recent partitions of gypsum wall board, sheet metal and other lightweight materials
- Ceilings
  - Most ceilings are flat plaster: some are beamed; one has applied plaster strapwork.
- Woodwork
  - The third floor's main rooms and circulation spaces all retain generous amounts woodwork, including mouldings, paneled wainscoting, and treatments of door and window openings. Species used include oak, mahogany, and pine.
- Doors
  - Massive, paneled wooden doors in single- and double-leaf configurations, with matching enframements and overdoors
  - Many surmounted with glazed transoms
  - Bronze decorative hardware
- Windows
  - Double-hung wood sash, set in paneled surrounds with matching enframements
- Other woodwork



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- Paneled wainscoting in main corridor, stairwells, and many rooms
  - Diverse types of built-in storage and display fixtures, including cabinets, wardrobes, lockers, bookcases, and show cases
  - At least one fireplace (with mantel, overmantel, and ceramic tile surround)
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- Lighting fixtures
    - Historic wall and ceiling fixtures in wrought iron, brass, bronze, and glass
    - Recent fluorescent fixtures and track lighting
- 
- Plumbing and heating fixtures
    - Bathroom fixtures are typically non-original and non-historic
    - Cast-iron steam radiators
- 
- Other fixtures and furnishings
    - Stairs, balconies, and mezzanines, with balustrades and railings, in metal and in wood
    - Lockers, shelving, cabinets, and other storage equipment
    - Tables, desks
- 
- Art/Artifacts
    - Commemorative plaques and displays
    - Weapons, uniforms, flags, drums, and other military equipment and memorabilia
    - Military and hunting trophies
    - Works of art (paintings, sculpture, prints, photographs)
    - Clocks, safes, and other miscellaneous objects
- 
- Major third-floor alterations:
    - The third floor was significantly altered in 1909-11, when it was raised to full-story height from its original attic configuration. (The building's fourth floor was also added at that time, along with the north and south stairways connecting floors two through four.)
    - The third floor was remodeled ca. 1930.

*Fourth Floor*

The fourth floor houses the kitchen and dining rooms of the armory restaurant. The main corridor has been fitted out as a lounge, with seating, tables, and bar counter. The remaining space, under the mansard facing Park Avenue, contains two levels of locker rooms.



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The following descriptions outline the general nature of interior treatments and fixtures on the fourth floor as a whole:

- Floors
  - Oak strip (plain, herringbone) and wide-plank pine in dining areas
  - Terrazzo in kitchen, service, and circulation areas
- Walls
  - Flat plaster above paneled wood wainscot (see "Woodwork" below)
  - "Half-timbering" in main corridor and two principal dining rooms; wall paper in other dining rooms.
  - Glazed ceramic tile in kitchen
- Ceilings
  - Most ceilings are flat plaster (some with beam)
  - The main corridor has a low vaulted ceiling with transverse beams
  - Acoustical tile between beams in main dining room
  - Pressed metal ceiling with cove at in at least one other room.
- Woodwork
  - The woodwork in the main spaces of the fourth floor includes: "half-timbering," mouldings, wainscoting, treatments of door and window openings, as well as other fixed and moveable elements. Species used include oak and pine.
- Doors
  - Paneled single- and double-leaf wooden doors, with matching surrounds and enframements; some with multi-pane glazing
  - Bronze decorative hardware
- Windows
  - Double-hung wood sash, set in paneled surrounds with matching enframements
- Other woodwork
  - Paneled wainscoting in many rooms
  - Built-in storage and display fixtures, including kitchen cabinets, storage lockers, and show cases



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THE SEVENTH REGIMENT ARMORY ON PARK AVENUE

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- Lighting fixtures
  - Historic wall and ceiling fixtures: some in brass and wrought iron; others incorporating wagon-wheels, military drums, etc.
  - Later fluorescent fixtures
- Plumbing and heating fixtures
  - Bathroom fixtures are typically non-original and non-historic
  - Cast-iron steam radiators
- Other fixtures and furnishings
  - Stairs and railings, in metal and in wood
  - Metalwork gates
  - Kitchen equipment
  - Masonry chimney breasts and fireplaces
  - Bar counter
- Furniture
  - Storage lockers, display cabinets
  - Tables
  - Moveable seating
- Art/Artifacts
  - Commemorative plaques
  - Flags, military and hunting trophies
  - Portraits, prints, photographs
  - Clocks and other miscellaneous objects
- Major fourth-floor alterations:
  - Dining rooms, kitchen, and related spaces created in 1928.

*Fifth Floor*

The fifth floor was added to the Headhouse in 1928, set back from the Park Avenue and side-street facades. The southern two-thirds is occupied by a gymnasium. The northern third is occupied by smaller office and service spaces on the main level, with additional offices on a mezzanine level above.

The following descriptions outline the general nature of interior treatments and fixtures on the fifth floor as a whole:

- Floors
  - Hardwood flooring throughout, usually oak; maple gym floor
- Walls
  - Flat plaster, with some areas of applied molding for a paneled appearance
- Ceilings
  - Painted metal
  - Exposed steel roof trusses
- Doors
  - Single- and double-leaf wood doors, some with glazing
  - Many recent metal-clad doors
- Windows
  - Glass block with metal-framed operable hoppers
  - Wire-glass interior sash at mezzanine
- Lighting fixtures
  - High-intensity floodlights in gymnasium; fluorescent fixtures elsewhere
- Plumbing and heating fixtures
  - Bathroom fixtures are typically non-original and non-historic
  - Cast-iron steam radiators
- Other fixtures and furnishings
  - Steel and wood stairs, with banisters
  - Steel lockers
- Art/Artifacts
  - Wall clock in main gym; other objects



## DRILL HALL

Since the time of its completion in 1879, the Drill Hall was one of the largest unobstructed interiors in New York. Measuring roughly 200 feet x 300 feet, it has accommodated numerous social gatherings and sporting events as well as military exercises.

- Floor
  - Original Georgia pine floor
  - Re-laid 1911-13; now painted
- Walls
  - Painted brick masonry
  - Later cinderblock partitions
- Ceiling/roof structure
  - 11 wrought-iron elliptical arch trusses, with subsidiary upper trusses
  - Two levels of clerestory windows
  - Visible wood-plank roof sheathing
- Windows
  - The east facade of the Headhouse overlooks the Drill Hall with multi-pane wood-framed French doors at galleries, and with double-hung wood sash elsewhere.
  - Large arched window opening over Lexington Avenue vehicular entrance, with steel-framed windows with copper-clad mullions.
- Fixtures
  - Seating galleries:
  - Original (1879) bracketed gallery with balustrade on west wall at second-floor mezzanine level
  - Steel gallery with steel fascia and bronze railing on north, east and south walls (1911-13)
  - Large clock mounted on east wall
- Major Drill Hall alterations:
  - Major renovation of entire space in 1911-13, including:
    - New continuous spectators' gallery (with storage space below), new corner stairs, new clerestory windows, new lighting system, new interior paint scheme.
    - Window openings in north and south walls bricked-in, east wall window enlarged, and floor re-laid using original boards.



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- After 1952, storage and service areas beneath the spectator galleries were modified with cinderblock walls and partitions.
- The Lexington Avenue vehicular doorway was enlarged and a roll-down door installed in 1955.

For historic preservation guidelines and preservation-related aspects of use and design guidelines, please reference legislation and guidelines included in additional information package (available from E&Y upon request).

This package includes the following:

1. Building-specific materials:

New York City Landmarks Preservation Commission designation reports:

- a. exterior (1967)
- b. interior (1994)

National Register of Historic Places nomination/inventory (1975)

National Historic Landmark nomination (1986)

Historic American Buildings Survey information: HABS No. NY-6295

NYS DMNA report: "Park Avenue Armory: Rehabilitation of Decorative Plaster Ceilings"  
(1997)

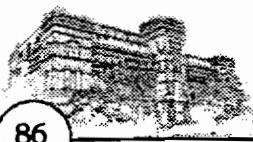
2. General regulatory materials:

NYC Landmarks Law

Section 14.09, NY State Historic Preservation Law

Section 106, National Historic Preservation Act

Secretary of the Interior's Standards for the Treatment of Historic Properties.



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**APPENDIX 6****Code and Zoning Compliance and Requirements**

This section highlights major existing Building Code and Zoning compliance issues which exist with respect to the Armory and which may impact its future development. It does not list every defect or condition contrary to code. It is merely a summary of some of the major conditions encountered. Neither ESD, DMNA nor the State of New York guarantee that this analysis accounts for all possible considerations that will be needed for a development plan.

The Armory was constructed before any current building laws were in effect. However, its original construction was recorded in the Department of Building's files. The original building was filed as New Building Application No. 214/1877. Documentation of this early application is located at the Department of Buildings. In fact, documentation for most of the Armory's major alterations performed to the building exists in the Department of Building's records.

The Armory historically complied with the local building codes and most major work was filed, reviewed and received municipal approval. In a February 1, 1955 letter to the Building Commissioner, Major Kenneth C. Miller, Chairman of the Armory Committee, states: "In the case of fire exits, doorways, fire escapes, etc. it has been the policy of the State for many years to make the Armory comply with New York City regulations..."

Therefore, future work contemplated by Proposers should comply with the New York City Building Code.

The current building code, ("New Code"), established in 1968 and amended to the present, is significantly different from the building codes under which the Armory was erected or altered. Although building codes have changed several times since the Armory was erected and altered, the Building Department classifies old code as the building code which was in effect between 1938 and 1968 ("Old Code"). In most cases, the New Code allows existing structures to remain under the codes under which they were legally built. With respect to structures erected prior to 1968, the New Code allows modifications to conform with Old Code provisions. There are three (3) scenarios under which overall building modifications are classified: (1) modifications to the building which do not exceed 30 percent of its replacement value; (2) modifications which exceed 30 percent, and are valued between 30 and 60 percent of replacement value of the building; and (3) modifications which exceed 30 percent, and are valued over 60 percent of replacement value. In case (1) modifications are allowed to conform with Old Code; in case (2) modifications must be constructed in accordance with the New Code. However, in both cases (1) and (2), the areas not modified or altered do not have to be retroactively upgraded with the New Code. In case (3), however when the proposed work exceeds 60 percent of replacement value,



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the entire building has to be retroactively upgraded to conform with the New Code.

It should be noted that areas within the building defined as Public Assembly Spaces (i.e., Drill Hall and reception rooms in the Headhouse with occupancy of 75 persons or more) must comply with New Code provisions, regardless of cost or magnitude of the alterations.

There is no Certificate of Occupancy for the Armory because buildings built in the nineteenth century did not require the issuance of such documents. In addition, all Old Code and New Code did not require the retroactive issuance of Certificates of Occupancy. The absence of a Certificate of Occupancy is not significant because the use, occupancy and arrangement of the building are fairly well documented by the Department of Building records. This documentation, in its entirety, is in many ways similar to a New York City Certificate of Occupancy document .

***General Building Description***

The building is bounded by Park Avenue, East 66th Street, East 67th Street and Lexington Avenue. It is listed in Building Department records as Block 1401, Lot 1. The house number ranges are 101-129 East 66th Street; 100-126 East 67th Street; 888-898 Lexington Avenue; and 641-649 Park Avenue.

The construction of the Armory, both the Headhouse and the Drill Hall, based on Department of Buildings records, appears to include both Fireproof and Non-Fireproof construction. The Headhouse appears to be framed in wood; and records indicate that its floor construction is 3x16 yellow pine joists. There appears to be fireproof steel frame construction on the Fourth and Fifth Floors. The trusses of the Drill Hall are steel with a wooden roof above. The exterior walls of the Headhouse are masonry and range in thickness from 18 inches on the upper floors (fourth and fifth) to 24 inches on the lower floors (first to third). The non-fireproof portions of the Armory may best be described as Class 3 construction under the "Old Code".

Various building records establish that the primary non-military use of the Drill Hall is temporary public assembly use. According to PA 104/53, when the Drill Hall is used for temporary public assembly use, occupancies within the Drill Hall for some assembly events exceed 2,600 persons. Based on this occupancy level and the square footage of the Drill Hall, travel distances to the exit doors are high and exit capacities low. The Drill Hall has only four (4) points of egress. On the Lexington Avenue side, there are three (3) exits, one each at the North and South corners and a third at the center; and on the western side, abutting the Headhouse, there is one (1) additional exit, a center door connecting the Drill Hall with the main entrance lobby.

There are three (3) egress points in the Headhouse. These include: one (1) main entrance door exiting on Park Avenue providing egress for the first floor and the second and third floors via the grand staircase



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at the center of the building leading to the main entrance lobby; and two (2) staircases (below the grand stair) that lead to the cellar and ultimately through a corridor to the street. Egress from the third, fourth and fifth floors is provided by way of two (2) staircases, one each at the Northern and Southern ends of the Headhouse. These staircases start at the second floor; and offer access to the fire escapes by way of a window. Some efforts appear to have been made to enclose these staircases.

With reference to ventilation, sprinkler and fire alarm systems, the Drill Hall does not appear to have adequate ventilation. The Headhouse and the Drill Hall appear to have been retrofitted with a standpipe system, although the extent of sprinkler protection at the cellar floor has not been confirmed. The building is equipped with a relatively modern coded fire alarm system, but its operational ability and adequacy of coverage were not independently verified.

***Building Code Assessment***

According to the New Code, egress conditions within the Headhouse are substandard. Although the number of existing occupants is not recorded, observation indicates that the Headhouse does not have a dense overall occupancy. Assuming a net usable (as defined by the New Code) floor plate of approximately 12,000 square feet, an occupant load of 120 persons can be inferred for office occupancy. For meeting and museum uses, the loads are difficult to predict since the net available area accessible to visitors is less than the 12,000 square feet assumed for offices. Nevertheless, it appears improbable that there would be more than 120 visitors per floor at any one time. The women's shelter is densely populated but figures on the number of persons were not made available.

The stairs are not enclosed, are somewhat narrow and do not terminate properly at the street; there is sufficient stair egress width available. At their narrowest, the end stairs are 1-1/2 units wide (a unit is 22 inches). The present code allows 60 persons per unit of width for office or museum type occupancy. In other words, these stairs can accommodate 180 persons at each floor. At the second floor, the fire escapes and the large center stair combined allow equivalent egress potential.

There are three (3) first floor exits, one through the center doors facing Park Avenue and two (2) staircases (below the grand stair) leading to the cellar. Egress capacity at this level is between 400 and 450 persons. The cellar shares in this "two way" egress pattern and allows exiting for approximately 100 persons. Both the first floor and cellar capacities assume no one is exiting from the Drill Hall. Travel distances within the Headhouse are well within the permitted limit.

There are four (4) exits from the Drill Hall. This is inadequate and based on current standards for egress, the Drill Hall can accommodate only 600 persons. Travel distances to exits are far in excess of those permitted.



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As stated earlier, the Headhouse is of non-fireproof construction. Under Old Code and New Code, the Headhouse exceeds the height and area limits for this type of construction. The New Code does not require any modifications to the building unless a significant alteration or change of use is proposed.

With respect to compliance with the Americans With Disabilities Act (ADA), a thorough ADA assessment review has not been conducted for the Armory. Brief assessment of the Headhouse and the Drill Hall indicates that the Armory does not have significant provisions for the disabled. The Armory has only one (1) wheelchair access point at grade, through the center door to the Drill Hall, on Lexington Avenue. Within the Headhouse, the Armory lacks provisions for the disabled including simple tactile warnings, accessible toilets and elevators. ADA is a federal legislation intended to provide persons with disabilities proper access and facilities in all public spaces. New Code (per New York City Building Code), specifically as modified under Local Law 58 of 1987, does not require retroactive modifications to the building to provide access for the disabled unless the cost of the work exceeds 50 percent of the replacement value of the building. If the cost of the work exceeds 50 percent of the replacement value of the building, accessibility provisions are required throughout the building. It should be noted that ADA is not a building code requirement, thus compliance with ADA is not required per New York City Building Code. Nevertheless, ADA compliance and certain provisions for the disabled should be made to prevent potential legal action from disabled persons.

#### *Zoning*

The New York City Zoning Resolution can be found on the New York City web site: [www.ci.nyc.ny.us/html/dcp/home.html](http://www.ci.nyc.ny.us/html/dcp/home.html).



## APPENDIX 7

### Additional Terms and Conditions

#### *Not an Offer*

This RFP does not constitute a solicitation or an offer for the purchase, lease, use, or management of the Armory or any portions thereof. Neither ESD, DMNA, the State, any of the State's agencies, departments, public authorities or other entities, nor any affiliate or subsidiary or any of the foregoing, shall incur any obligation or liability on account of this RFP or any submission made in connection with this RFP or any other reason unless and until an agreement for the Armory setting forth all the terms and conditions of the transaction with respect to the reuse of the Armory (the "Agreement") has been fully executed and unconditionally delivered by DMNA, on behalf of the State and/or ESD, the Preferred Proposer, and all other parties thereto and all necessary consents and approvals for the State's entry into such Agreement have been obtained. No Proposal for the Armory shall be deemed accepted until closing has occurred under the Agreement. This RFP, at any time, may be reissued, amended, supplemented and withdrawn in sole and absolute discretion of ESD, DMNA, or the State. Representatives of ESD, DMNA, and E&Y are not authorized to give any Proposer interpretations of this RFP, or additional information regarding the process. Interpretations or additional information, if provided, will be set forth in written addenda to this RFP.

ESD, DMNA, and the State reserve the right, each in its sole discretion, not to select or accept one or more Proposals submitted in connection with this RFP, including, without limiting the foregoing, the Proposal with the highest offer of compensation to the State. Neither ESD, DMNA, nor the State has any obligation, under this RFP or otherwise, to dispose the Armory, or any portion of the Armory, through a competitive bid process, including, without limiting the foregoing, to dispose of the Armory to the highest bidder or bidders. ESD, DMNA and the State have the right, each in its sole and absolute discretion, to reject any and all Proposals, to accept any Proposal, and to elect not to proceed with the process set forth in this RFP. ESD, DMNA and the State may, at any time, dispose of the Armory, or any portion of the Armory, in any appropriate manner.

#### *General Conditions*

The following additional terms and conditions apply with respect to this RFP and, by responding to this RFP, the Proposer agrees to be bound by all terms and conditions of this RFP including, without limiting the foregoing, the following:

- a. ESD and DMNA reserve the unqualified right in their sole and absolute discretion to choose or reject any or all Proposals, to negotiate an Agreement with anyone submitting a Proposal, or to waive any informalities or irregularities. Issuance of this RFP does not obligate ESD or DMNA to undertake any action. This RFP may be reissued, amended or withdrawn if it is deemed in the best interest of ESD and DMNA to do so.

## THE SEVENTH REGIMENT ARMORY ON PARK AVENUE

- b. Neither the submission of a Proposal and any documents or other information to ESD and DMNA, nor any correspondence discussion, meetings, or other communications between a Proposer and ESD and DMNA shall impose any obligation on ESD and DMNA to include a Proposer in any further procedures which ESD and DMNA may utilize prior to the final selection of a Developer. No such actions shall be deemed to impose any obligation whatsoever on ESD and DMNA to select a Developer, to discuss any Proposals, or to enter into negotiations with a Proposer.
- c. Each of ESD and DMNA reserves the right to independently investigate or request clarification of the contents of any Proposal, including requiring any Proposer to provide additional information or to make an oral presentation. All materials submitted in response to this RFP become property of ESD and DMNA without any obligation to return such materials. All determinations of completeness of any submission and its compliance with the provisions, requirements, terms and conditions of this RFP and the eligibility or qualification of any Proposer shall be in the sole and absolute discretion of ESD and DMNA. ESD and DMNA may waive any of the provisions, requirements, terms and conditions of this RFP. Subsequent to submission of Proposals in response to this RFP, ESD and DMNA, in the exercise of their sole and absolute discretion, may enter into parallel negotiations with two or more Proposers, may designate two or more Proposers for "short list" consideration, may request best and final offers, and/or may conduct other additional competitive proceedings with respect to any of the potential dispositions covered by this RFP. ESD and DMNA (in consultation with their advisors) will review Proposals for completeness and compliance with the terms and conditions of this RFP and may request from any or all Proposers additional material, clarification, confirmation or modification for any submitted Proposal, including Proposals that are incomplete or non-conforming as submitted. All determinations as to the completeness or compliance of any Proposal or as to the eligibility, qualification or capability of any Proposer is within the sole and absolute discretion of ESD and DMNA.
- d. A committee consisting of ESD's staff and DMNA's staff shall review all bids and may consult with ESD's advisors, including E&Y. DMNA senior staff will make recommendations to the DMNA Adjunct General and/or ESD senior staff will make recommendations to ESD's Directors regarding selection of one or more Preferred Proposers. Preferred Proposers shall be designated in the sole and absolute discretion of DMNA and/or ESD based upon the Evaluation/Selection Criteria set forth in Part D of this RFP.
- e. Neither the State, ESD, DMNA nor E&Y make any representations or warranties whatsoever with respect to this RFP or the Armory including, without limiting the foregoing, representations or warranties as to: the accuracy or completeness of any information or assumptions contained in, or provided or otherwise furnished in connection with, this RFP; the use or development, or potential use or development, of the Armory or any portion



thereof; the physical condition, environmental condition, layout, configuration, size, boundaries, access, location, systems and utilities of the Armory, the adjacent sites or any portion thereof; the absence or presence of hazardous substances or toxic materials in or under the Armory and the adjacent sites; compliance with environmental laws; and the suitability of the Armory for any specific uses or development.

- f. Each Proposer shall make its own analysis and evaluation of the Armory, including, without limiting the foregoing: the physical condition, environmental condition, layout, configuration, size, boundaries, access, location, systems and utilities for the Armory and for all adjacent sites; the absence or presence of hazardous substances or toxic materials in or under the Armory and adjacent sites; compliance with environmental laws; and the suitability of the Armory for any use or development. Each Proposer shall obtain its own independent legal, accounting, engineering, environmental and technical advice on all matters relating to the Armory, including, without limiting the foregoing: examination, review and verification of any information provided by or on behalf of the State, ESD, DMNA or their advisors; land and improvements constituting the Armory site and adjacent to the site; all local laws, regulations and conditions that may affect the use and development of the Armory; and all other matters that may be material. Proposers shall not rely upon any statement or information given by or on behalf of the State, ESD, DMNA or E&Y including, without limiting the foregoing, any information contained in this RFP or made available pursuant to this RFP or otherwise.
- g. Selection or designation of any Proposer or Proposal pursuant to this RFP will not create any rights for the Proposer, including, without limiting the foregoing, rights of enforcement, equity or reimbursement. Neither ESD, DMNA, nor the State shall have any obligation or liability whatsoever to any person or entity whose Proposal is selected or designated as a result of this RFP unless and until an Agreement shall have been fully executed and delivered by all parties thereto and all necessary consents and approvals necessary for DMNA and the State's entry into such agreement have been obtained, and then all such obligations and liabilities shall be solely in accordance with the terms and conditions of such Agreement.
- h. If it is deemed in the best interest of ESD, DMNA or the State to do so, this RFP may be reissued, amended or withdrawn in whole or in part at any time, including without limiting the foregoing, after Proposals have been submitted. Issuance of this RFP does not obligate the State, ESD, DMNA or E&Y to undertake any action.
- i. By submitting a Proposal, the Proposer authorizes ESD and DMNA, or their representatives, to contact the Proposer's banks and credit references and all other persons identified by the Proposer in any materials submitted in connection with this RFP or in any investigation conducted by or on behalf of ESD, DMNA or the State and obtain release of pertinent financial and other information as well as the verification of the information provided by or on behalf of the Proposer.



## THE SEVENTH REGIMENT ARMORY ON PARK AVENUE

- j. By submitting a Proposal for the Armory, the Proposer agrees to abide and be bound by all the terms and conditions of this RFP, including without limiting the foregoing those set forth in this Appendix 7.
- k. Unless and until the Agreement is executed and delivered by DMNA and the Developer, ESD and DMNA may withdraw from any discussion or negotiations with any Proposers, including the Preferred Proposer. ESD and DMNA may consult references of any Proposer, and each of the persons, firms, or entities forming part of the proposed development team. Submission of a Proposal shall constitute permission for ESD and DMNA to make such inquiries and authorization to third parties to respond thereto.
- l. ESD and DMNA are State entities and as such their work and materials submitted to them are subject to the Freedom of Information Law ("FOIL"). ESD and DMNA assume no responsibility for any loss or damage which may result from any determination requiring the disclosure of information pursuant to FOIL. ESD and DMNA may use any information submitted in negotiating with any entity without any entity without assuming any liability whatsoever or paying any compensation.
- m. No Proposer will be selected if, in the determination of ESD and DMNA, any principal of the Proposer or any member of the Proposer's development team is in arrears or in default on any debt, contract, or obligation to or with the State, ESD and DMNA, or any of their respective affiliates, subsidiaries, agencies, or instrumentalities.
- n. Proposers may be rejected by ESD and DMNA if such Proposers, or any principal, partner, officer, director, or principal shareholder of the Proposer is determined, in the sole discretion of ESD and DMNA, to have been convicted of, or pled guilty or nolo contendere to, a felony or crime of moral turpitude, to be an "organized crime figure," to be under indictment or criminal investigation, or to be in arrears or in default on any debt, contract, or obligation to or with a New York State or local government entity. Each Proposer and partner or member of a Proposer team or group, and any principal, partner, officer, director, employee, affiliate person or principal shareholder of the Proposer, and partner or member of a Proposer team, may be required to complete a background questionnaire to verify that it is in full compliance with these requirements. Proposers are advised that there is no legal obligation of the part of ESD or DMNA to seek a developer/operator of the Armory through a competitive bid process and that ESD and DMNA reserve the right to use the Proposals submitted as a basis for negotiation with Proposers or other parties as ESD and DMNA deem appropriate.

*Taxes*

The Armory is publicly owned and is currently exempt from property taxes. No response to this RFP shall be conditioned upon receipt of tax abatements, all assumptions regarding property taxes will be the responsibility of the Proposer.

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THE SEVENTH REGIMENT ARMORY ON PARK AVENUE

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***Permits and Approvals***

The Selected Developer will be required, at its sole cost and expense, to comply with all applicable federal, state, and local laws and regulations, and to obtain from all appropriate government authorities all construction and ancillary approvals for the reuse of the Armory including, but not limited to all required building permits and approvals. No proposal that is conditioned upon a change in existing Zoning Resolution requirements, a special permit, a zoning variance or any other discretionary land use approval will be considered.

Proposals should comply with the New York City Building Code.

***Expenses***

Each Proposer shall pay its own costs and expenses (including, without limiting the foregoing, attorneys' fees and disbursements) in connection with their responses to this RFP and any subsequent Agreement and the consummation thereof. Neither ESD, DMNA, nor the State will pay or refund any costs or expenses incurred by a Proposer in responding to this RFP, or by any Preferred Proposer following selection or designation.

If for any reason ESD and DMNA decide not to proceed with the project pursuant to this RFP or decide to reuse the Armory outside this solicitation process, ESD and DMNA will not be liable for any costs and expenses associated with the preparation, clarification, submission, or negotiation of proposals submitted in response to this RFP (including, without limiting the foregoing, attorneys' fees and disbursements).

***Brokers***

Proposals shall be accepted from principals only. No brokerage fees, finder's fees, commissions, or other compensation will be payable by ESD, DMNA or the State in connection with the selection of the Selected Developer. Submission of a proposal by a Proposer in response to this RFP will constitute an undertaking by the Proposer to hold harmless and indemnify and defend the State, ESD and DMNA from and against any and all expenses, damages, or liability (including, without limitation, attorneys' fees and disbursements) arising out of any claim for such fees, commissions, or other compensation made in connection with such Proposer's response to this RFP, selection or nonselection thereunder or negotiation and execution (or non-execution) of an Agreement.



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**THE SEVENTH REGIMENT ARMORY ON PARK AVENUE**

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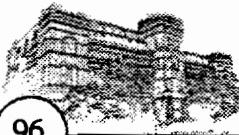
**APPENDIX 8****AFFIRMATIVE ACTION**

It is the policy of the State and ESD, to comply with all federal, State and local laws, policies, orders, rules and regulations which prohibit unlawful discrimination because of race, creed, color, national origin, sex, sexual orientation, age, disability or marital status, and to take affirmative action in working with contracting parties to ensure that Minority and Women-owned Business Enterprises (M/WBEs), Minority Group Members and women share in the economic opportunities generated by their participation in projects or initiatives, and/or the use of their funds. ESD's non-discrimination and affirmative action policy will apply to this project. The selected Developer will be required to use its best efforts to achieve: (i) not less than 20% Minority/Women-owned Business Enterprise (M/WBE) contractor and/or subcontractor participation during the development of the project, which includes any preconstruction, construction and operation-maintenance phases; and (ii) an overall goal of 25% Minority and Female workforce (M/FWF) participation during any construction. A copy of each Proposer's equal employment opportunity policy statement, must be included as part of the Proposal. A Staffing Plan (Schedule A-1 of Appendix 8) of the anticipated workforce to be utilized on the Developer Team and Schedule of Minority and Women Business Participation (Schedule A-2 of Appendix 8), as applicable, should be included as part of the Proposal.

The selected Developer may be required to submit a Workforce Employment Utilization Report (Schedule A-3) of the workforce actually utilized on the project, itemized by ethnic background, gender, and Federal Occupational Categories or other appropriate categories specified by ESD, and shall update such schedule quarterly.

The selected Developer may also be required to include with the first Workforce Employment Utilization Report and as part of the documentation required for final payment, such data describing: a) the total number of company employees at commencement of the project; b) the total number of company employees at the completion of the project; and c) any net increases in the number of employees in the company. Net increases in employment shall be further classified by ethnicity, gender and occupation code.

Schedule A-4 of this Appendix 8 is a partial list of firms, engaged in potentially relevant trades and professions, that have been certified by the State as meeting all required criteria as a Minority and/or Women-owned Business Enterprise. Addresses and telephone numbers can be obtained from the ESD Affirmative Action Officer at (212) 803-3224. This listing should not be construed as an endorsement or recommendation for any particular firm. If you require additional trade and professional listings, please call the ESD Affirmative Action Office at (212) 803-3224.



THE SEVENTH REGIMENT ARMORY ON PARK AVENUE

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**NON-DISCRIMINATION AND AFFIRMATIVE ACTION DEFINITIONS*****Minority Business Enterprise ("MBE")***

Shall mean a business enterprise, including a sole proprietorship, partnership or corporation that is: (i) at least fifty-one percent (51%) owned by one or more Minority Group Members; (ii) an enterprise in which such minority ownership is real, substantial and continuing; (iii) an enterprise in which such minority ownership has and exercises the authority to control and operate, independently, the day-to-day business decisions of the enterprise; (iv) an enterprise authorized to do business in the State of New York and is independently owned and operated; and (v) an enterprise certified by New York State as a minority business.

***Minority Group Member***

Shall mean a United States citizen or permanent resident alien who is and can demonstrate membership in one of the following groups: (i) Black persons having origins in any of the Black African racial groups; (ii) Hispanic persons of Mexican, Puerto Rican, Dominican, Cuban, Central or South American descent of either Indian or Hispanic origin, regardless of race; (iii) Asian and Pacific Islander persons having origins in any of the Far East countries, South East Asia, the Indian subcontinent or the Pacific Islands; and (iv) Native American or Alaskan native persons having origins in any of the original peoples of North America.

***Women-owned Business Enterprise ("WBE")***

Shall mean a business enterprise, including a sole proprietorship, partnership or corporation that is: (i) at least fifty-one percent (51%) owned by one or more citizens or permanent resident aliens who are women; (ii) an enterprise in which the ownership interest of such women is real, substantial and continuing; (iii) an enterprise in which such women ownership has and exercises the authority to control and operate, independently, the day-to-day business decisions of the enterprise; (iv) an enterprise authorized to do business in the State of New York and is independently owned and operated; and (v) an enterprise certified by New York State as woman-owned.



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THE SEVENTH REGIMENT ARMORY ON PARK AVENUE

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PART III

EXHIBITS & SCHEDULES

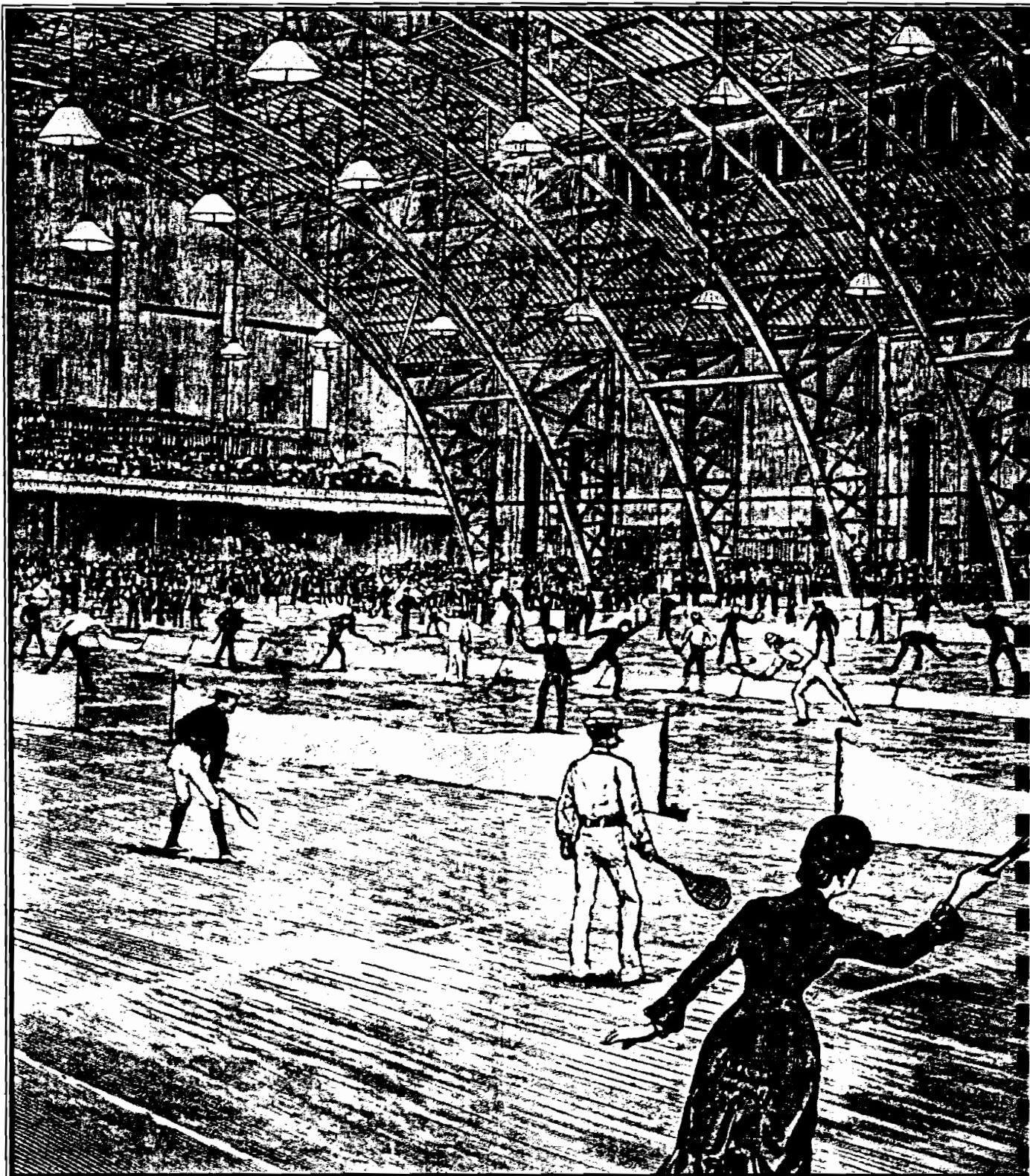
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A LEGENDARY NEW YORK LANDMARK REBORN

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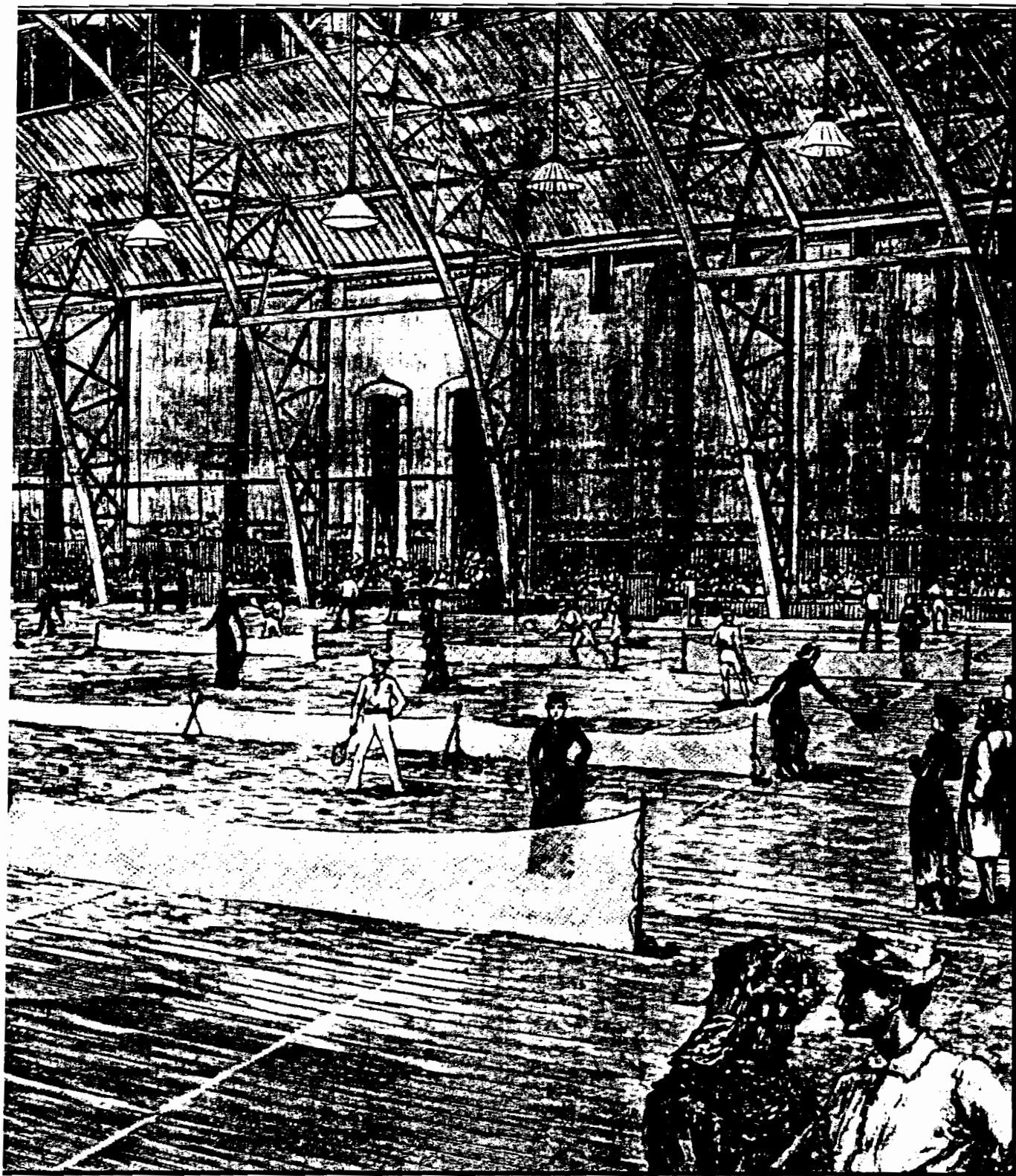


THE SEVENTH REGIMENT



TENNIS: THE DRILL HALL - FROM AN ENGRAVING

ARMORY ON PARK AVENUE



CIRCA LATE NINETEENTH CENTURY

YORK LANDMARK REBORN



THE SEVENTH REGIMENT ARMORY ON PARK AVENUE

**EXHIBIT 1**

(Electronic copy attached)

A LEGENDARY NEW YORK LANDMARK REBORN



**EXHIBIT 2**

(Electronic copy attached)

A LEGENDARY NEW YORK LANDMARK REBORN



## THE SEVENTH REGIMENT ARMORY ON PARK AVENUE

**EXHIBIT 3****Certification**

The undersigned: recognizes that this Proposal is submitted For the express purpose of inducing the State of New York (the "State"), to award a contract to the undersigned; acknowledges that each of the New York State Urban Development Corporation d/b/a Empire State Development Corporation ("ESD"), the New York State Division of Military and Naval Affairs ("DMNA"), and the State, or its agencies and instrumentalities may in its discretion, by means which it may choose, determine the truth and accuracy of all statements made herein; acknowledges that intentional submission of false or misleading information may constitute a felony under Penal Code Law § 210.40 or a misdemeanor under Penal Law § 210.35 or § 210.45, and may also be punishable by a fine of up to \$10,000 or imprisonment of 1 to five years under 18 U.S.C. §1001; and states that the information submitted in, or in connection with, this Proposal is true, accurate, and complete.

By submission of this Proposal, the Proposer and each person signing on behalf of the Proposer certifies, and in the case of a joint Proposal each party thereto certifies as to his or her own organization, under penalty or perjury, that to the best of his or her knowledge and belief:

- (1) The prices, amounts, and material in this Proposal have been arrived at independently, without collusion, consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices, amounts, and materials with any other Proposer or with any competitor;
- (2) Unless otherwise required by law, the prices, amounts, and material that have been quoted in this Proposal have not been knowingly disclosed by the Proposer and will not knowingly be disclosed by the Proposer prior to opening, directly or indirectly, to any other Proposer or to any competitor; and
- (3) No attempt has been made or will be made by the Proposer to induce any other person, partnership or corporation to submit or not to submit a Proposal for the purpose of restricting competition.

The Proposer hereby authorizes ESD, DMNA, and the State, and their agents and instrumentalities to contact the Proposer's banks and credit references and any other persons identified in its Proposal, including, without limiting the foregoing, all persons and entities identified in its Proposer Information form and any sources and uses statement, in connection with the Proposal, and any and all other persons

THE SEVENTH REGIMENT ARMORY ON PARK AVENUE

identified in any investigation conducted by or on behalf of ESD, DMNA, or the State, and obtain release of pertinent financial and other information, as well as to obtain verification of information provided on behalf of the Proposer.

Sworn to before me this \_\_\_\_\_

day of \_\_\_\_\_, 2000

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Notary Public

\_\_\_\_\_  
Title



**SCHEDULE A-1****STAFFING PLAN**

| Project/RFP Title  |        | Address                      |                               | Location of Contract                              |  | County  | Zip    |                                |        |
|--|--------|------------------------------|-------------------------------|---|--|---|--------|--------------------------------|--------|
| Contractor/Firm Name   |        |                              |                               | City  | State                                    |   |        |                                |        |
| Check applicable categories:   |        | (1) Staff Estimates Include: |                               | <input type="checkbox"/> Contract/Project Staff   | <input type="checkbox"/> Total Workforce | <input type="checkbox"/> Subcontractors       |        |                                |        |
|  |        | (2) Type of Contract:        |                               | <input type="checkbox"/> Construction Consultants | <input type="checkbox"/> Commodities     | <input type="checkbox"/> Services/Consultants |        |                                |        |
| Federal Occupational Category  |        | TOTAL ANTICIPATED WORK FORCE |                               |   |  |   |        | Total Percent Female Employees |        |
|  |        | Total Number of Employees    | Black (Not of Hispanic Origin | Hispanic  | Asian or Pacific Islander                | Native American Alaskan Native                | Male   | Female                         | Male   |
| Male   | Female | Male                         | Female                        | Male  | Female                                   | Male  | Female | Male                           | Female |
| Officials/Admin.   |        |                              |                               |   |  |   |        |                                |        |
| Professionals  |        |                              |                               |   |  |   |        |                                |        |
| Technicians  |        |                              |                               |   |  |   |        |                                |        |
| Sales Workers  |        |                              |                               |   |  |   |        |                                |        |
| Office & Clerical  |        |                              |                               |   |  |   |        |                                |        |
| Craft Workers  |        |                              |                               |   |  |   |        |                                |        |
| Operatives   |        |                              |                               |   |  |   |        |                                |        |
| Laborers   |        |                              |                               |   |  |   |        |                                |        |
| Service Workers  |        |                              |                               |   |  |   |        |                                |        |
| <b>TOTALS</b>  |        |                              |                               |   |  |   |        |                                |        |
| <b>CERTIFICATION:</b>  |        |                              |                               |   |  |   |        |                                |        |
| I, _____, do certify that (i) I have read this Staffing Plan and (ii) to the best of my knowledge, information and belief the information herein is complete and accurate. |        |                              |                               |   |  |   |        |                                |        |
| Signature _____ Date _____ Telephone Number ( ) _____  |        |                              |                               |   |  |   |        |                                |        |

(Title), do certify that (i) I have read this Staffing

(Print Name), the \_\_\_\_\_ Plan and (ii) to the best of my knowledge, information and belief the information herein is complete and accurate.

*Forward to:*  
**Empire State Development**  
**Alternative Action Unit - Laverne Poole**  
**633 Third Avenue**  
**New York, NY 10017**  
**Office: (212) 803-3224**  
**Fax: (212) 803-3223**

**CONTRACTORS STAFFING PLAN**  
*Instructions for Completion*

**PURPOSE:**

The Contractors Staffing Plan is prepared by all contractors providing good, products and merchandise, or services (skilled and non-skilled) or professional consulting services (inclusive of professional construction consultant services) to a state agency. The plan is required prior to the award of a contract and contains the anticipated staff assignments during the contract. In instances where that cannot be identified, the contractor may identify the total work force of the company. The form will be reviewed by state agencies for the purposes of equal employment opportunity requirements.

**GENERAL INFORMATION:**

1. **Project/RFP Title:** describe the project for which you are competing as indicated on the RFP/RFB document.
2. **Location of Contract:** the company's location and postal zip code.
3. **Contractor/Firm Name:** the company that will be providing the workforce. Include address with city name, state and zip code.
4. **Check applicable categories:**
  - (1) **Staff Estimated include:** *Contract/Project Staff (check in cases where the workers to be assigned can be determined, Total Work Force (check in the event the contract work force cannot yet be determined, Subcontractors (check if the work force for the project is that of a subcontractor).*
  - (2) **Type of Contract:** *Construction Consultants, Commodities, Services/Consultants (check appropriate box).*

**TOTAL ANTICIPATED WORK FORCE:**

1. **Federal Occupational Category:** The contractor's work force is broken down and reported by the nine Federal Occupational Categories (FOC's) consistent with the Federal government's EEO-1 categories for the private sector labor force. The categories are general in nature, and include all related occupational job titles. The contracting agency can provide assistance in categorizing specific jobs.
2. **Total Number of Employees:** Record the total number of all persons employed in each FOC regardless of ethnicity (either to be assigned to the contract/project staff OR in the company's total work force, as indicated by the categories selected in number 4 (1) Staff Estimated, of the General Information. Report the number of male employees in column (1), and the total number of female employees in column (2) for each FOC. In columns (3) through (10), report the number of male and female minority group member, based on the following defined groups:

**Black (not of Hispanic origin):** all persons having origins in any of the Black African racial groups.

**Hispanic:** all persons of Mexican, Puerto Rican, Dominican, Cuban, Central or South American or either Indian or Hispanic origin, regardless of race.

**Asian or Pacific Islander:** all persons having origins in any of the Far East countries, South East Asia, the Indian subcontinent or the Pacific Islands.

**Native American or Alaskan Native:** all persons having origins in any of the original peoples of North America.

**TOTAL PERCENT MINORITY:**

Add all minority group members (male and female) columns (3) through (10), divide by the total numbers of all employees in that FOC (columns 1 + 2). Post the percentage result for that FOC. [Total number of minority employees (columns 3 thru 10) ÷ Total number of employees (columns 1 and 2)].

**TOTAL PERCENT FEMALE:**

Divide the number of female employees (column 2) in the FOC, by the total number of both Male and Female (column 1 + 2). Post the percentage result for that FOC. [Total female employees (column 2) ÷ Total number of employees (columns 1 and 2)].

**TOTALS:**

To compute the column totals, add vertically. **Total Percent Minority Employees** and **Total Percent Female Employees** should be calculated as shown above, using the summed column totals.

The Contractors Staffing Plan is to be completed by the prime contractor and signed and dated by an authorized representative before submission. The *Company Official's Name, Title, Telephone Number, Signature and Date* signed should be provided where indicated on the form.

**SCHEDULE A-2**

## SCHEDULE III OF MINORITY WOMEN OWNED BUSINESS PARTICIPATION

*(No substitutions may be made on this submission except by prior written approval from Empire State Development)*

Name of Bidder

Project:

Address

**Bidder's Contract Amount:**

**Bidder's Contract Amount:** \_\_\_\_\_

Telephone Number: ( )

**CERTIFICATION:**

**Signature**

Forward ix

**Empire State Development  
Affirmative Action Unit - Laverne  
633 Third Avenue  
New York, NY 10017**

Eur. (212) 803-3223

## SCHEDULE A-3

## EMPIRE STATE DEVELOPMENT

## WORKFORCE EMPLOYMENT UTILIZATION REPORT

NON CONSTRUCTION

(See reverse side for instructions)

 CONTRACT SPECIFIC WORKFORCE PROFESSIONAL CONSTRUCTION CONSULTANT COMMUNITIES CHECK IF NOT FOR-PRIORIT Y

□ CONTRACT START DATE: \_\_\_\_\_

PERCENT OF JOB COMPLETED: \_\_\_\_\_

REPORTING PERIOD: \_\_\_\_\_

QUARTERLY REPORT

SEM-ANNUAL REPORT

PROJECT NAME: \_\_\_\_\_

PROJECT LOCATION: \_\_\_\_\_

COUNTRY: \_\_\_\_\_

ZIP: \_\_\_\_\_

PRODUCT/SERVICE PROVIDED: \_\_\_\_\_

 TOTAL WORKFORCE PROFESSIONAL CONSTRUCTION CONSULTANT SERVICES/CONSULTING COMMUNITIES

TYPE OF REPORT (check one):

 ADDRESS: \_\_\_\_\_

TELEPHONE NUMBER: \_\_\_\_\_

FEDERAL ID NO.: \_\_\_\_\_

N.Y. UNEMPLOYMENT INSURANCE NO.: \_\_\_\_\_

CHECK ONE:  PRIME CONTRACTOR SUBCONTRACTOR

CONTRACT NO.: \_\_\_\_\_

CONTRACT AMOUNT: \$ \_\_\_\_\_

| FEDERAL OCCUPATIONAL  |  | NUMBER OF EMPLOYEES       |        |      |                          |      |        | TOTAL PERCENT |                 | C1. EMPLOYEES |  |
|-----------------------|--|---------------------------|--------|------|--------------------------|------|--------|---------------|-----------------|---------------|--|
|                       |  | TOTAL NUMBER OF EMPLOYEES |        |      | ASIAN & PACIFIC ISLANDER |      |        |               |                 |               |  |
| CATEGORY              |  | MALE                      | FEMALE | MALE | FEMALE                   | MALE | FEMALE | WHITE<br>Male | WHITE<br>Female |               |  |
| Office/Administrative |  |                           |        |      |                          |      |        |               |                 |               |  |
| Professionals         |  |                           |        |      |                          |      |        |               |                 |               |  |
| Technicians           |  |                           |        |      |                          |      |        |               |                 |               |  |
| Sales Workers         |  |                           |        |      |                          |      |        |               |                 |               |  |
| Office & Clerical     |  |                           |        |      |                          |      |        |               |                 |               |  |
| Craft Workers         |  |                           |        |      |                          |      |        |               |                 |               |  |
| Operating             |  |                           |        |      |                          |      |        |               |                 |               |  |
| Laborers              |  |                           |        |      |                          |      |        |               |                 |               |  |
| Service Workers       |  |                           |        |      |                          |      |        |               |                 |               |  |
| <b>TOTALS</b>         |  |                           |        |      |                          |      |        |               |                 |               |  |

COMPANY EMPLOYMENT DATA

| A. TOTAL COMPANY  |        | B. TOTAL COMPANY  |        | C. TOTAL COMPANY  |        |
|---|--------|---|--------|---|--------|
| EMPLOYEES (where complete<br>in columns 1 & 2 or the<br>beginning of the project) |        | EMPLOYEES (where complete<br>in columns 1 & 2 or the<br>beginning of the project) |        | EMPLOYEES (where complete<br>in columns 1 & 2 or the<br>beginning of the project) |        |
| Male  | Female | Male  | Female | Male  | Female |
|   |        |   |        |   |        |

NET INCREASE (apply only to changes, if any, in Company's  
Employee Roster at the end of project)

(Title), do certify that I have read this Workforce Employment Utilization Report and to the best of my knowledge,  
 information and belief the information contained herein is complete and accurate.

CERTIFICATION:  
 Signature \_\_\_\_\_ Date \_\_\_\_\_

**WORKFORCE EMPLOYMENT UTILIZATION REPORT  
NON-CONSTRUCTION  
Instructions for Completion**

**PURPOSE:**

The *Workforce Employment Utilization Report For Non-Construction Firms* is prepared by all contractors, and subcontractors if any, supplying commodities or providing professional construction consulting or consulting services (skilled or non-skilled) to a state agency to document their actual employment of minority group members and women during the period covered by the report. The report has a format similar to forms used by the Federal government for reporting equal employment opportunity data. When the contract specific workforce can be identified, the report covers all employees (including apprentices or trainees) working on the project. If the contract specific workforce cannot be separated out, the contractor's total workforce is reported. The completed reports are used by the contracting state agency to monitor the contractor's and subcontractor's compliance with the contract's equal employment opportunity requirements.

**GENERAL INFORMATION:**

1. Name of contracting state agency and state agency code (five digit code).
2. Reporting period covered by report (Monthly; check to indicate Quarterly or Semi-Annual Report).
3. Contractor firm name (prime contractor or summary report submitted to agency) and address (including city name, state and zip code); check if the contractor is a NOT-FOR-PROFIT.
4. Type of Report: check to indicate whether report covers (i) the Contract Specific Workforce or (ii) the Company's Total Workforce in the event the contract specific workforce cannot be separated out.
5. Contractor Federal Employer Identification number or payroll identification number (prime contractor i.e. no summary report); check to indicate prime or subcontractor report.
6. Contract Amount is dollar amount based on terms of the contract.
7. Contract number is the agency assigned number given to the contract.
8. Location of work including county and zip code where work is performed.
9. Indicate Product or Service provided by contractor (brief description).
10. Contract start date is month/day/year work on contract actually began.
11. Contractor's estimate of the percentage of work completed at the end of this reporting period.

**FEDERAL OCCUPATIONAL CATEGORIES:**

The contractor's workforce is broken down and reported by the nine *Federal Occupational Categories (FOC)* as consistent with the Federal government's EEO-1 categories for the private sector labor force. These are: *Officials and Managers, Professionals, Technicians, Sales, Office & Clerical (Administrative Support), Craft Workers, Operatives, Laborers, and Service Workers*. The categories are general in nature, and include all related occupational job titles. The contracting agency can provide assistance in categorizing specific jobs.

**TOTAL NUMBER OF EMPLOYEES:**

Record the total number of all persons employed in each FOC during the reporting period, regardless of ethnicity (either working on the specific contract OR in the contractor's total workforce, based on the type of report indicated above). Report the total number of male (M) employees in column (1) and the total number of female (F) employees in column (2) for each FOC. In columns (3) thru (10) report the numbers of male and female minority group members employed, based on the following defined groups:

- Black (or) Hispanic origin: all persons having origins in any of the Black African racial group;
- Hispanic: all persons of Mexican, Puerto Rican, Dominican, Cuban, Central or South American descent or either Indian or Hispanic origin, regardless of race;
- Asian or Pacific Islander: all persons having origins in any of the Far East countries, South East Asia, the Indian subcontinent or the Pacific Islands;
- Native American or Alaskan Native: all persons having origins in any of the original peoples of North America.

**TOTAL PERCENT MINORITY =** sum of all minority group members (male and female) employed in the FOC divided by the total number of all employees in that FOC (column 1 + column 2).

**TOTAL PERCENT FEMALE =** total number of female employees in the FOC (column 2) divided by the total number of all employees in that FOC (column 1 + column 2).

**TOTALS:**

Column totals should be calculated (sum each column) for all FOC's combined. Total minority and female percentages should be calculated as shown above, based on the column totals.

**SUBMISSION:**

The workforce utilization report is to be completed by both prime and subcontractors and signed and dated by an authorized representative before submission. This Company Official's name, official title and telephone number should be printed or typed where indicated on the bottom of the form.

The prime contractor shall complete a report for its own workforce, collect reports completed by each subcontractor, and prepare a summary report for the entire combined contract workforce. The reports shall include the total number of employees in each occupational category for all payrolls completed in the monthly reporting period. The prime contractor shall submit the summary report to the contracting agency as required by Part 542 of Title 8 Subtitle H of the NYCCR pursuant to Article 15-A of the Executive Law.

**COMPANY EMPLOYMENT DATA (Sections A through C):**

The Contractor shall also include with the first Workforce Employment Utilization Report and as part of the documentation required for final payment, such data describing: (i) the total number of company employees at commencement of the project, (ii) the total number of company employees at the completion of the project and (iii) any net increases in the number of employees in the company. Net increases in employment shall be further classified by ethnicity, gender and Occupational Code, and shall be attributable to the contractor's participation in an ESD project or initiative.

- |                                     |  |
|-------------------------------------|--|
| A. <b>Total Company Employees:</b>  | Total number of company employees in N.Y.S. offices, upon commencement of project. Classify employee by gender, ethnicity and occupation.  |
| B. <b>Total Company Employees:</b>  | Total number of company employees in N.Y.S. offices, upon completion of project. Classify employee by gender, ethnicity and occupation.  |
| C. <b>Net Increase (C1 and C2):</b> | Provide information identifying any net increase in the number of employees in the company upon project completion. Classify any new employee by gender, ethnicity and occupation. |

**OCCUPATIONAL CODES**

|                          |     |
|--------------------------|-----|
| Officials/Administrators | 100 |
| Professionals            | 110 |
| Technicians              | 120 |
| Sales Workers            | 130 |
| Office & Clerical        | 140 |
| Craft Workers            | 150 |
| Operatives               | 160 |
| Laborers                 | 170 |
| Service Workers          | 180 |

**FORWARD TO:**

Empire State Development  
Affirmative Action Unit - Lawrence Fuchs  
633 Third Avenue  
New York, NY 10017-6754  
Office (212)663-3224 FAX: (212) 603-3223



**NYS MWBE CERTIFIED - CONSTRUCTION CONSULTANTS (PARTIAL LISTING)**  
**GENERAL & SPECIALTY CONTRACTORS**